



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/404,448 09/22/99 BYRNE

4300.012100

DAVID W HIBLER
WILLIAMS MORGAN & AMERSON P C
7676 HILLMONT
SUITE 250
HOUSTON TX 77040

0262/1018



NOT ASSIGNED

DATE MAILED: 1646

10/18/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☒ non-small entity is \$ 1580.00

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 260 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 378 for 21 total claims over 20.

\$ 312 for 4 independent claims over 3.

* \$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

HARRISON T-6
Customer Service Center
Initial Patent Examination Division (703) 308-1202

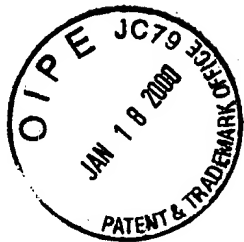
01/19/2000 KZEMIE 00000015 09404448

01 FC:201
02 FC:202
03 FC:203
04 FC:205

380.00 OP
156.00 OP
189.00 OP
65.00 OP

Missing Parts Due
12-18-99
Dick

Sector 18



CERTIFICATE OF MAILING
37 C.F.R 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

January 6, 2000
Date

David W. Hibler
David W. Hibler

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Barry J. Byrne, James E. Conway, Gary S.
Hayward, Nicholas Muzyczka and Sergei
Zolotukhin

Group Art Unit: 1646

Examiner: Unknown

Serial No.: 09/404,448

Atty. Dkt. No.: 4300.012100
UF#10014

Filed: September 22, 1999

For: METHODS FOR LARGE-SCALE
PRODUCTION OF RECOMBINANT
AAV VECTORS

RESPONSE TO 37 C.F.R. § 1.53(F) NOTICE

BOX MISSING PART

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(f), dated October 18, 1999, there are enclosed herewith:

- (a) Declarations executed on behalf of Barry J. Byrne, James E. Conway, Gary S. Hayward, Nicholas Muzyczka and Sergei Zolotukhin;

- (b) Powers of Attorney on behalf of University of Florida and The Johns Hopkins University;
- (c) Declarations Claiming Small Entity Status executed on behalf of University of Florida and The Johns Hopkins University;
- (d) A Request for corrected Filing Receipt;
- (e) An Information Disclosure Statement, PTO Form 1449 and copies of references A1-A10 and C1-C9;
- (f) A Request for Extension of Time of one month to and including January 18, 2000. Should such request be absent, consider this such a request and authorization to withdraw the appropriate fee under 37 C.F.R. §§ 1.16 to 1.21 as stated below;
- (g) Our check in the amount of \$845.00 to cover the basic filing fee (\$380 - basic small entity) ; surcharge for late filing (\$65.00); additional claims fee (\$345.00); and one month extension of time fee (\$55.00); and
- (h) A copy of Notice to File Missing Parts of Application-Filing Date Granted.

Assignments to University of Florida and The Johns Hopkins University and a check for \$80.00 are being filed under separate cover.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Williams, Morgan & Amerson, P.C. Deposit Account No. 50-0786/4300.012100.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,

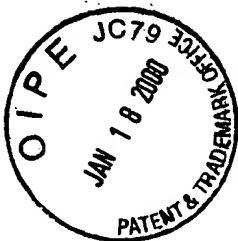
David W. Hibler

David W. Hibler
Reg. No. 41,071

Agent for Applicants

WILLIAMS, MORGAN & AMERSON
7676 Hillmont, Suite 250
Houston, Texas 77040
(713) 934-7000

Date: January 6, 2000



CERTIFICATE OF MAILING
37 C.F.R 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

January 6, 2000
Date

David W. Hibler
David W. Hibler

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Barry J. Byrne, James E. Conway, Gary S.
Hayward, Nicholas Muzyczka and Sergei
Zolotukhin

Serial No.: 09/404,448

Filed: September 22, 1999

For: METHODS FOR LARGE-SCALE
PRODUCTION OF RECOMBINANT
AAV VECTORS

Group Art Unit: 1646

Examiner: Unknown

Atty. Dkt. No.: 4300.012100
UF#10014

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

A corrected filing receipt is hereby requested in view of the error that appears in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the error has been noted in red.

As the error is not due to any error by Applicants, no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner

is hereby authorized to deduct said fee from Williams, Morgan & Amerson, P.C. Deposit
Account No. 50-0786/4300.012100.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,

David W. Hibler

David W. Hibler
Reg. No. 41,071

Agent for Applicants

WILLIAMS, MORGAN & AMERSON
7676 Hillmont, Suite 250
Houston, Texas 77040
(713) 934-7000

Date: January 6, 2000

FILING RECEIPT

DWH



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/404,448	09/22/99	1646	\$0.00	4300.012100	4	41	7

DOCKETING DEPT.

OCT 21 1999

DAVID W HIBLER
WILLIAMS MORGAN & AMERSON P C
7676 HILLMONT
SUITE 250
HOUSTON TX 77040

WILLIAMS, MORGAN & AMERSON

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice (8 File Missing Parts of Application)" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

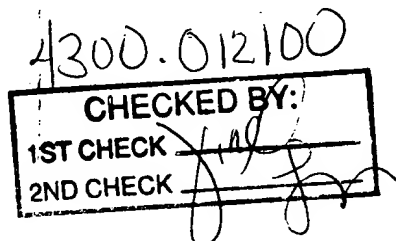
Applicant(s) BARRY J. BYRNE, RESIDENCE NOT PROVIDED; JAMES E. CONWAY, RESIDENCE NOT PROVIDED; GARY S. HAYWARD, RESIDENCE NOT PROVIDED; NICHOLAS MUZYCZKA, RESIDENCE NOT PROVIDED; SERGEI ZOLOTUKHIN, RESIDENCE NOT PROVIDED.

CONTINUING DATA AS CLAIMED BY APPLICANT-
PROVISIONAL APPLICATION NO. 60/101,507 09/22/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 10/15/99
TITLE

METHODS FOR LARGE-SCALE-SCALE PRODUCTION OF RECOMBINANT AAV VECTORS

PRELIMINARY CLASS: 530



DATA ENTRY BY: HARRISON, BRUCE

TEAM: 06 DATE: 10/15/99

(See reverse for new important information)